

State of New Hampshire

Banking Department

64B Old Suncook Rd Concord, NH 03301

Telephone: (603) 271-3561 Fax: (603) 271-0750 Licensing: (603) 271-8675 www.state.nh.gov/banking

Peter C. Hildreth Bank Commissioner Robert A. Fleury Deputy Bank Commissioner

FIRST MORTGAGE BANKER/BROKER FORM 397-A-AR

NH ANNUAL REPORT - GENERAL INSTRUCTIONS

- 1. Information provided in this form is aggregated and an analysis is published by the New Hampshire Bank Commissioner in his Annual Report to the Governor and Executive Council. The accuracy of the information is also important because it will be used by the New Hampshire Banking Department ("the department") if assessment calculations are needed.
- 2. All First Mortgage Bankers, First Mortgage Brokers or First Mortgage Banker/Brokers licensed in accordance with NH RSA 397-A during any period of time during the preceding calendar year must complete and file this report with the department on or before February 1st of the ensuing year. Since February 1st falls on a Sunday, all annual reports for calendar year 2003 must be received by the department on or before Monday, February 2, 2004.
- 3. All items on the form must be completed; do not leave any blanks. Reports with blanks are incomplete and will be deemed as "not filed" for purposes of any penalty. If an item is not applicable to the business conducted by the licensee, enter "N/A", "none", "O", or "zero".
- 4. Work papers used to calculate and compile the information required by this form must be retained and made available when the licensee is examined by the department.
- 5. This report must be filed if a license was held for a portion of the reporting year and must be filed even if no loans were originated, brokered or made. The originally signed and notarized report must be physically delivered to the department; we cannot accept fax transmissions of reports. Failure to file the annual report or late filing of the annual report results in a statutory penalty of \$25 per day for each day the report is overdue.
- 6. No fee is required to file this annual report.
- 7. Information in this report must be provided for the total amount of first mortgage business conducted by the licensee in all jurisdictions as well as the total amount of New Hampshire ("NH") first mortgage business conducted by the licensee during calendar year 2003. "NH first mortgage business" refers to first mortgage loans that are made, originated, funded or brokered by the licensee that are secured by real property located in NH and which are or shall be occupied in whole or in part as primary domiciles or places of residence by the borrowers and that consist of not more than 4 living units. Do not count a single loan transaction in more than one category on this form.
- 8. The form requests a list of all offices located outside of NH where NH mortgages are originated, brokered or made. We already have current information on the principal office and on all NH branch offices, so this section of the form is seeking to identify locations where NH loans are originated, brokered or made that are located outside NH and therefore are not required to be licensed.
- 9. The form requests information as to the total number of employees of the licensee at year end. Include all employees of the licensee, wherever they are located and no matter what function or in what capacity they serve. The second part of the question seeks information about employees who work in NH. Include all mortgage originators in your count, regardless of how they are paid.
- 10. Information about mortgage transactions should be provided for the calendar year 2003. Information about the company, its address, locations, officers, owners, number of employees should be provided as of December 31, 2003.
- 11. Include each mortgage loan transaction done by the company during 2003 only once on this form. For each loan, select whether the loan was originated or brokered by the company but not funded by the company, or whether the loan was funded by the company (closed in the company's name) regardless of who originated or brokered the loan for the company and regardless of whether the loan was subsequently sold.
- 12. Gross revenue figures should reflect the aggregate of all income earned by the licensee for mortgage transactions before expenses.
- 13. You must report a list of all individuals who originated first mortgage loans for your company at any time between January 1, 2003 and December 31, 2003. You may file this information electronically or you may use the attached form. However, if you choose to file originator information electronically we must receive the electronic information on or before February 2, 2004 or this report will be deemed incomplete and the \$25 per day penalty will apply.

FIRST MORTGAGE BANKER, BROKER OR BANKER/BROKER 2003 NH ANNUAL REPORT FORM 397-A-AR

Reporting Period: January 1, 2003 through December 31, 2003

1. Legal name of licensee:							
2. Trade Name (if applicable):							
3. Licensee's federal tax ID number:		2003 NH first mortgage principal office license number:					
4. Contact person regarding this re	eport (President, Chief Ex	ecutive Officer, Senior Pa	rtner of Lic	ensee):			
Name:		Title:					
5. Principal place of business of the	ne licensee:						
(Street) (City			te)	(Zip)			
6. Mailing address, if different:	(Character DO Deer)	(City)	(04-4-)		7:)		
7. Communications:		(City) (Fax no.)	(State)	`	Zip) E-mail Ad	dragg)	
8. If the licensee does not have ar the NH Agent (department examin	office located in NH, a	person located within the S					
Name of Agent:			Telep	ohone:			
Complete street address of	of NH Agent:						
(Please provide a NH bus	siness address)						
Mailing Address of Ager	nt:						
9. Total number of employees of	licensee in all jurisdiction	ns: Numbe	er of emplo	yees located	in NH:		
10. List all locations of the license sheet if necessary).	ee that are located outside	of NH that conduct NH fi	rst mortgag	e business (a	attach an a	dditional	
Street Address	City/T	own Sta	te	Manage	er	Telephone	
11. Does the licensee service first of NH foreclosures for reporting p		by NH residential property	? Yes	No I	f "Yes", en	nter the number	

13. SCHEDULE A: FIRST MORTGAGE BUSINESS DURING 2003

	ALL JURISDICTIONS			NH ONLY			
Category	Total Number of Loans in all Jurisdictions	Total Dollar Amount of Loans in all Jurisdictions	Total Gross Revenue Earned From all Loans in all Jurisdictions	Total Number of Loans in NH	Total Dollar Amount of Loans in NH	Total Gross Revenue Earned From all NH Loans	
First Mortgage Loans originated or brokered but not funded by the Licensee		\$	\$		\$	\$	
First Mortgage Loans funded by the Licensee		\$	\$		\$	\$	
Total of First Mortgage Loans originated, brokered and funded by the Licensee		\$	\$		\$	\$	

14. SCHEDULE B: FIRST MORTGAGE LOANS RETAINED OR SERVICED AS OF DECEMBER 31, 2003

	ALL JURISDICTIONS		NH ONLY		
Category	Total Number of Loans outstanding in all Jurisdictions	Total Dollar Amount of Loans outstanding in all Jurisdictions	Total Number of Loans in NH	Total Dollar Amount of Loans in NH	
Total balances of First Mortgage Loans outstanding (retained or serviced) as of December 31, 2003.		\$		\$	

YOU DO NOT NEED TO MANUALLY COMPLETE THIS FORM IF YOU FILE THE REPORT OF ORIGINATORS ELECTRONICALLY. Please see our website at www.state.nh.gov/banking for the electronic format. IF YOU HAVE FILED THIS PART OF THE ANNUAL REPORT ELECTRONICALLY, CHECK HERE . Otherwise, fill out the form below to provide a list of all individuals, wherever located, who have originated, made or brokered NH mortgage loans for your company at any time during calendar year 2003. Include each person's first name, last name, middle initial and any suffix, business address, last 4 digits of the originator's Social Security Number and business telephone number; attach an additional sheet if necessary:

Full name of originator	Business address of Originator	Social Security Number	Telephone no. of Originator	Start Date	End Date
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AFFIRMATION

The information provided in this report reflects the total amount of first mortgage business conducted by the licensee in all jurisdictions and the total amount of first mortgage business related to NH loans conducted by the licensee in all its business locations.

I subscribe and affirm, under penalty of perjury, that the statements made in this report have been examined by me and to the best of my knowledge and belief are true, correct and complete, and that I am duly authorized to execute this affirmation. I understand that any misrepresentation made to the banking department may result in denial or revocation of the license to which this form relates.

I acknowledge on behalf of the licensee that the licensee will retain work papers and other documents used in the preparation of this report and that the licensee will make such records available to the department upon request or examination.

	For
	For(Print or type the licensee's name)
	By(Print or type name of the authorized signatory)
	(Print or type name of the authorized signatory)
	Signature
	Title
	CORPORATE ACKNOWLEDGMENT
State or Province of}	
County of ss.	
On this day of, 20 before m	ne
the undersigned officer, personally appeared	(Print name of Notary/JP)
the undersigned officer, personally appeared (Proceedings) known personally to me to be the (Title of officer)	int name of corporate officer signing this document) of the above named corporation and
(Title of office	er)
acknowledged that he or she, as an officer being authorized	so to do, executed the foregoing instrument
for the purposes therein contained, by signing the name of	the corporation by himself or herself as an officer.
IN WITNESS WHEREOF I have hereunto set my hand and	d official seal.
	Notary Public/JP Signature
(SEAL)	My Commission Expires
	(Date)
State or Province of}	IDUAL OR PARTNERSHIP ACKNOWLEDGMENT
County of	
On thisday of, 20, before	e me,, (Print name of Notary/JP)
the undersigned officer, personally appeared	known to
(Pr	int name of individual signing this document)
me personally and known to me to be the same person who	
and acknowledged the execution thereof for the uses and pr	
In WITNESS WHEREOF I have hereunto set my hand and	official seal.
	Notary Public/JP Signature
(SEAL)	My Commission Expires
	(Date)